

IT INVESTMENT MANAGEMENT - CONTROL (2.0)
PROJECT DEFINITION STAGE (2.1)

| Number | Phase/Stage/Task | Process Description |
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| 2.1 | Project Definition Stage | <p>Entrance Criteria: <i>The Entrance criteria is receipt by the Project Manager of the Project Authorization Memorandum. In some cases, this memo may prescribe limitations on project funding, e.g., project funding through a particular Phase or Stage or actual funding as identified in the Annual Work Plan.</i></p> <p>Purpose: <i>The Project Definition Stage refine and finalize the functional requirements, certifies user and functional requirements, requires the development of additional life-cycle documents, plans and security deliverables, and reviews the project before it enters the System Design Stage.</i></p> <p>Exit Criteria: <i>The exit criteria is a complete and signed Project Definition Completion Review Memorandum with all action items resolved. The SCO, on behalf of the Sponsor, will develop a draft Project Definition Completion Review Memorandum for the Project Sponsor. The Sponsor will finalize and sign the Project Definition Completion Review Memorandum and forward it to the Project Manager, with a courtesy copy being sent to the ADs IRM Advisor (ADs Portfolio Manager) and the SCO.</i></p> |
| | | <p>Decisions (Go/NoGo Points): <i>Based on the Project Definition Review and the Project Definition Completion Review Memorandum the Project Sponsor and Project Manager determine if enough information about the proposed system has been gathered and documented to proceed to the next two stages (System and/or Services Acquisition Stage and System Design Stage).</i></p> |
| | | <p>Deliverables: <i>Requirements Certification Memorandum Project Definition Completion Review Memorandum Updated Project Management Plan</i></p> |
| | | <p>Time Frames:</p> |
| | | <p>Who's Involved : <i>Project Manager, Sponsor, Project Team, SCO, Business Users, Quality Assurance Specialists, Data Specialist, Security Specialists, Training Specialist and ADs Portfolio Manager.</i></p> |
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| 2.1.1 | Business Users/Stakeholders document final User and Functional Requirements | <i>Purpose: It is impossible to develop a system or deliver a product unless the user and functional requirements are clearly and accurately identified and incorporated into the overall project plan.</i> |
| | | <i>Deliverables: Functional and User Requirements are documented.</i> |
| | | <i>Time Frames:</i> |
| | | <i>Who's Involved: Project Manager and Integrated Project Team.</i> |
| 2.1.2 | Project Manager and Project Sponsor document mutual understanding of both User and Functional Requirements | <i>Purpose: Once the final user and functional requirements have been documented the Project Manager and Project Sponsor document their mutual understanding of the requirements.</i> |
| | | <i>Deliverables: User and Functional Requirements Document</i> |
| | | <i>Time Frames:</i> |
| | | <i>Who's Involved: Project Manager and Project Sponsor</i> |
| 2.1.3 | Project Manager determines if project is ready for a User and Functional Requirements Review | <i>Purpose: It is the responsibility of the Project Manager to determine if the project is ready for this review.</i> |
| | | <i>Deliverables:</i> |
| | | <i>Time Frames:</i> |
| | | <i>Who's Involved: Project Manager and Project Sponsor</i> |
| 2.1.4 | UFRR Team conducts a User & Functional Requirements Review | <i>Purpose: This is the first independent review of the Project within the Control Phase. The purpose of the UFR Review is to ensure that the requirements are properly documented and clearly understood by all parties before the project moves forward.</i> |
| | | <i>Deliverables:</i> |
| | | <i>Time Frames:</i> |
| | | <i>Who's Involved: User and Functional Requirements Review Team</i> |
| 2.1.5 | UFRR Team prepares Findings and Recommendations | <i>Purpose: To document the User and Functional Requirements Review Team's findings and recommendations.</i> |
| | | <i>Deliverables: A document that is authored by the User and Functional Requirements Review Team.</i> |

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| | | Time Frames: |
| | | Who's involved: <i>The User and Functional Requirements Review Team.</i> |
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| 2.1.6 | Project Manager concurs with UFRR Team's Findings and Recommendations | Purpose: <i>The Project Manager has review and concurs with the Findings and Recommendations. If necessary, the requirements definition process may need further analysis and return to step 2.1.1.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's involved: <i>Project Manager</i> |
| 2.1.7 | Project Manager prepares Requirements Certification Memorandum | Purpose: <i>To develop a document that will record the Project Sponsor's decision that the user and functional requirements have been properly defined.</i> |
| | | Deliverables: <i>A Requirements Certification Memorandum that is ready for the Sponsor's review and signature.</i> |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager</i> |
| 2.1.8 | Project Manager sends Project Requirements Certification Memorandum to Project Sponsor | Purpose: <i>Transmits the Requirements Certification Memorandum to the Sponsor for review.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager</i> |
| 2.1.9 | Project Sponsor reviews Requirements Certification Memorandum | Purpose: <i>To allow the Project Sponsor to formally concur with the way the Requirements Certification Memorandum is written.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Sponsor</i> |

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| 2.1.10 | Project Sponsor signs Requirements Certification Memorandum and sends back to Project Manager | Purpose: <i>This memorandum serves as one of the official exit criteria for the Project Definition Phase.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Sponsor and Project Manager</i> |
| 2.1.11 | Project Manager and Integrated Project Team develop Project Deliverables | Purpose: <i>Project planning documents that assist in developing the user and functional requirements must be done at this time. While some of the documents will be finalized, others will merely be in draft.</i> |
| | | Deliverables: <i>Data Management Plan</i> <i>Security Deliverables</i> <ul style="list-style-type: none"> -- <i>System Security Plan</i> -- <i>Security Risk Assessment</i> -- <i>Security Test Plan</i> -- <i>Trusted Facilities Manual</i> -- <i>Disaster Recovery/Contingency Plan</i> <i>Training Plan</i> <i>System Test Plan</i> <i>Quality Assurance Plan</i> <i>Configuration Management Plan</i> <i>Transition / Deployment Plan</i> |
| | | Time Frames: |
| | | Who's Involved: <i>Integrated Project Team, Project Manager</i> |
| 2.1.12 | Project Manager Updates Project Plan | Purpose: <i>The project plan contains organizational responsibilities, activities or tasks identified in a Work Break Down Structures (WBS) format, activity or task descriptions, a detailed project schedule, resource requirements and risk mitigation/response strategies. It should be reviewed and updated once the requirements have been identified. The reason for review the requirements against the project plan is to ensure that the project is still within the original scope as approved by the ITIB.</i> |
| | | Deliverables: <i>An updated Project Plan</i> |
| | | Time Frames: <i>The Project Plan must be reviewed and updated prior to the project moving to the next Stage.</i> |

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| | | Who's Involved: <i>Project Manager</i> |
| 2.1.13 | Project Manager determines if project is ready for a Project Definition Review | Purpose: <i>The final step in Project Definition Stage is the Definition Completion Review. This review is used as a major go/no-go decision point to ensure that the project is clearly defined and fully scoped before system design begins.</i> |
| | | <i>It is the responsibility of the Project Manager to determine if the project is ready for the Project Definition Review.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager and Integrated Project Team.</i> |
| 2.1.14 | Project Definition Review Team conducts a Project Definition Review | Purpose: <i>This independent review ensures that the Project has clearly been defined and that the project deliverables up to this point have been completed or have been initiated.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Analysts/Designers/Developers, User Representatives, User Acceptance Test (UAT) Team members and Configuration Management (CM) Team representatives, Data Management Team (DMT) representatives, AIS Security Team representatives, SCO Representatives, Investment Management Group (IMG) Representatives.</i> |
| 2.1.15 | Project Definition Review Team develop Findings and Recommendations | Purpose: Based on the review the Project Definition Review Team develop and document their findings and recommendations. This serves as an official project document and any recommended action items are tracked and reported. |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Definition Review Team</i> |

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| 2.1.16 | Project Manager and Sponsor make go/no go decision | Purpose: <i>The Project Manager and Project Sponsor have the ultimate responsibility to ensure that the requirement identification process has not expanded the scope, schedule or budget of the proposed system(s). By reviewing the project definitions and requirements the Manager and Sponsor make the final decision to proceed or to develop/refine the existing user and functional requirements before proceeding. Change procedures may require that any significant modifications to the requirements would necessitate another Project Definition Review.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager and Sponsor</i> |
| 2.1.17 | Project Manager prepares Project Definition Completion Review Memorandum | Purpose: <i>It is the responsibility of the Project Manager to prepare this memorandum for the Project Sponsor's signature. The Project Definition Completion Review Memorandum is the last of two exit criteria documents that must be completed before the project may move to the next stage.</i> |
| | | Deliverables: <i>A draft Project Definition Completion Review Memorandum that is sent to the Project Sponsor for their review, revision (if necessary) approval, and signature.</i> |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager</i> |
| 2.1.18 | Project Manager sends Project Definition Completion Review Memorandum to Project Sponsor | Purpose: <i>To transmit the Project Definition Completion Review Memorandum to the Project Sponsor</i> |
| | | Deliverables: <i>A draft Project Definition Completion Review Memorandum that is sent to the Project Sponsor for their review, revision (if necessary) approval, and signature.</i> |
| | | Time Frames: |
| | | Who's Involved: <i>Project Manager</i> |
| 2.1.19 | Project Sponsor reviews Project Definition Completion Review Memo | Purpose: <i>The review of the Project Definition Completion Review Memorandum allows the Project Sponsor to review and ask any questions concerning the scope of the project before it moves to the next Stage.</i> |
| | | Deliverables: |
| | | Time Frames: |

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| | | Who's Involved: <i>Project Sponsor</i> |
| 2.1.20 | Project Sponsor signs and sends final <i>Project Definition Completion Review Memorandum</i> back to Project Manager | Purpose: <i>The signs Project Definition Completion Review Memorandum becomes the Record of Decision regarding the Requirements definition process. It becomes the baselined requirements by which all designing and developing are measured against. It sets the scope of what will be delivered.</i> |
| | | Deliverables: |
| | | Time Frames: |
| | | Who's Involved: <i>Project Sponsor.</i> |